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APRIL 27, 1999

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TOWNSEND AND TOWNSEND AND CREW LLP
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UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER
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Washington, D.C. 20231
Jm Heslin



100954483A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 01/04/1999

REEL/FRAME: 9724/0752
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

LAROYA, GILBERT S.

DOC DATE: 12/03/1998

ASSIGNOR:

SHARKAWY, A. ADAM

DOC DATE: 12/03/1998

ASSIGNOR:

FOLEY, MARK J.

DOC DATE: 12/03/1998

ASSIGNEE:

VENTRICA, INC.
976 HAMILTON AVENUE
MENLO PARK, CALIFORNIA 94025

SERIAL NUMBER: 09170793

FILING DATE: 10/13/1998

PATENT NUMBER:

ISSUE DATE:

9724/0752 PAGE 2

KIMBERLY WHITE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

02-02-1999



Attorney Docket No. 002

FORM PTO-1595

(Rev. 6-93)

100954483

U.S. Department of Commerce
Patent and Trademark Office

To the Honorable Asst. Commissioner for Patents. Please record the attached original documents or copy thereof

1. Name of conveying party(ies):

GILBERT S. LAROYA, A. ADAM SHARKAWY,
MARK J. FOLEYAdditional name(s) of conveying parties attached? ☐ Yes☒ No.

3. Nature of conveyance:

☒

Assignment

☐

Merger

☐

Security Agreement

☐

Change of Name

☐

Other:

Execution Date: DECEMBER 3, 1998

2. Name and address of receiving party(ies)

Name: VENTRICA, INC.

Internal Address:

Street Address: 976 Hamilton Avenue

City: Menlo Park State: California ZIP: 94025

Additional names and addresses attached? ☐ Yes ☒ No

4. Application Number(s) or Patent Numbers.

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s): 09/170,793

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name:

TOWNSEND AND TOWNSEND AND CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(415) 576-0200

6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41): -----\$40.00

☐ Enclosed☒ Charge Fees to Deposit Account☒ Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account.

8. Deposit account number: 20-1430

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.

JAMES M. HESLIN

Name of Person Signing

Atty Reg. No. 29,541

Signature

Date

12/28/98

Total number of pages including cover sheet, attachments and document 3

10. Change Correspondence Address to that of Part 5? ☒ Yes ☐ No

OMB No. 0651-0011 (exp. 4/94)

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ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, GILBERT S. LAROYA, of 4635 Armour Drive, Santa Clara, California, 95054, A. ADAM SHARAWY, of 731 Canyon Road, Redwood City, California 94062, and MARK J. FOLEY, of 1151 Hobart Street, Menlo Park, California 94304, hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: PLACING A GUIDE MEMBER INTO A
HEART CHAMBER THROUGH A
CORONARY VESSEL AND
DELIVERING DEVICES FOR PLACING
THE CORONARY VESSEL IN
COMMUNICATION WITH THE HEART
CHAMBER

Date(s) of execution of Declaration: December 3, 1998

Filing Date: OCTOBER 13, 1998

Application No.: 09/170,793; and

WHEREAS, VENTRICA, INC., a corporation of Delaware, located at 976 Hamilton Avenue, Menlo Park, California 94025, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignment

Application No.: 09/170,793

Page 2

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

12/3/98
Dated

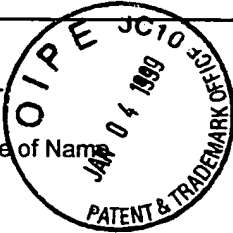
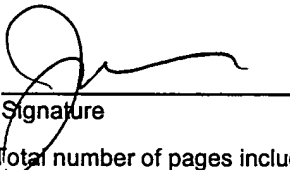
Gilbert S. Laroya
GILBERT S. LAROYA

12/3/98
Dated

A. Adam Sharkawy
A. ADAM SHARKAWY

12/3/98
Dated

Mark J. Foley
MARK J. FOLEY

FORM PTO-1595 (Rev. 6-93)		Recordation Form Cover Sheet (Patents Only)		U.S. Department of Commerce Patent and Trademark Office	
To the Honorable Asst. Commissioner for Patents. Please record the attached original documents or copy thereof					
1. Name of conveying party(ies): GILBERT S. LAROYA, A. ADAM SHARKAWY, MARK J. FOLEY Additional name(s) of conveying parties attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No.			2. Name and address of receiving party(ies) Name: VENTRICA, INC. Internal Address: Street Address: 976 Hamilton Avenue City: Menlo Park State: California ZIP: 94025 Additional names and addresses attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other: Execution Date: DECEMBER 3, 1998					
4. Application Number(s) or Patent Numbers. If this document is being filed together with a new application, the execution date of the application is:					
A. Patent Application No(s): 09/170,793		B. Patent No(s):			
Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					
5. Name and address of party to whom correspondence concerning document should be mailed: Name: TOWNSEND AND TOWNSEND AND CREW LLP Two Embarcadero Center, 8 th Floor San Francisco, California 94111-3834 (415) 576-0200			6. Total number of applications and patents involved 1		
(Continued from Part 5)			7. Total fee (37 CFR 3.41): ————— \$40.00 <input type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Charge Fees to Deposit Account <input checked="" type="checkbox"/> Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account.		
(Continued from Part 5)			8. Deposit account number: 20-1430		
DO NOT USE THIS SPACE					
9. Statement and signature. <i>To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.</i>					
JAMES M. HESLIN Name of Person Signing Atty Reg. No. 29,541		 Signature		12/28/98 Date	
Total number of pages including cover sheet, attachments and document 3					
10. Change Correspondence Address to that of Part 5? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No					
OMB No. 0651-0011 (exp. 4/94)					
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Asst. Commissioner for Patents Box: Assignments Washington, D.C. 20231					

DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **PLACING A GUIDE MEMBER INTO A HEART CHAMBER THROUGH A CORONARY VESSEL AND DELIVERING DEVICES FOR PLACING THE CORONARY VESSEL IN COMMUNICATION WITH THE HEART CHAMBER** the specification of which is attached hereto or XX was filed on OCTOBER 13, 1998 as Application No. 09/170,793 and was amended on (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119
na			Yes <u> </u> No <u> </u>
			Yes <u> </u> No <u> </u>

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below:

Application No.	Filing Date
na	

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application No.	Date of Filing	Status
09/023,492	February 13, 1998	<u> </u> Patented <u>XX</u> Pending <u> </u> Abandoned
		<u> </u> Patented <u> </u> Pending <u> </u> Abandoned

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

MICHAEL J. LYNCH, Reg. No. 36,403

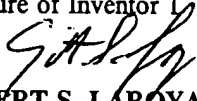

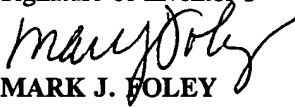
JAMES M. HESLIN, Reg. No. 29,541

MARK D. BARRISH, Reg. No. 36,443

Send Correspondence to: MICHAEL J. LYNCH VENTRICA, INC. 976 Hamilton Avenue Menlo Park, California 94025	Direct Telephone Calls to: (Name, Reg. No., Telephone No.) Name: MICHAEL J. LYNCH Reg. No.: 36,403 Telephone: 650/329-8844
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Full Name of Inventor 1	Last Name LAROYA	First Name GILBERT	Middle Name or Initial S.	
Residence & Citizenship	City SANTA CLARA	State/Foreign Country CALIFORNIA	Country of Citizenship USA	
Post Office Address	Post Office Address 4635 ARMOUR DRIVE	City SANTA CLARA	State/Country CALIFORNIA	Zip Code 95054
Full Name of Inventor 2	Last Name SHARKAWY	First Name A.	Middle Name or Initial ADAM	
Residence & Citizenship	City REDWOOD CITY	State/Foreign Country CALIFORNIA	Country of Citizenship USA	
Post Office Address	Post Office Address 731 CANYON ROAD	City REDWOOD CITY	State/Country CALIFORNIA	Zip Code 94062
Full Name of Inventor 3	Last Name FOLEY	First Name MARK	Middle Name or Initial J.	
Residence & Citizenship	City MENLO PARK	State/Foreign Country CALIFORNIA	Country of Citizenship USA	
Post Office Address	Post Office Address 1151 HOBART STREET	City MENLO PARK	State/Country CALIFORNIA	Zip Code 94304

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1  GILBERT S. LAROYA	Signature of Inventor 2  A. ADAM SHARKAWY	Signature of Inventor 3  MARK J. FOLEY
Date 12/3/98	Date 12/3/98	Date 12/3/98

DP.MRG 8/96
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